



# ***Fiscal Year 1999 State Domestic Preparedness Equipment Program***

*Guidance for the  
Development of a Three-  
Year Statewide Domestic  
Preparedness Strategy*

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This version of the *Fiscal Year 1999 State Domestic Preparedness Equipment Program Guidance for the Development of a Three-Year Statewide Domestic Preparedness Strategy* **supercedes all previous versions.**

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## Foreword

The Office of the Assistant Attorney General, Office of Justice Program (OJP) is providing funds to States under the State Domestic Preparedness Equipment Program for the purchase of specialized equipment for fire, emergency medical, hazardous materials response services, and law enforcement agencies. These funds will be used to enhance the capabilities of State and local units of government to respond to acts of terrorism involving weapons of mass destruction (WMD). Funding will also assist States with documenting capabilities and needs, and with the development of comprehensive statewide strategic plans.

As the State agency designate to administer this program, your role in strategic planning and in assessing overall State and local capabilities is a critical component of OJP's State and local domestic preparedness initiative. To assist States with their strategic planning efforts, the Office for State and Local Domestic Preparedness Support (OSLDPS) has developed guidance for states to use in their strategic planning process. As a multi-year document, it is important that the strategy reflect statewide funding allocations for equipment purchases, and that it also identify resource needs in the areas of training, exercises, and technical assistance.

To assist States in conducting their threat, risk and needs assessments, and developing their three-year strategy, OJP has developed an on-line data collection tool. This on-line tool will be available to states for the submission of statewide strategic plans, as well as the assessment data. States may begin registering users for the on-line data collection tool beginning July 5, 2000, in the first phase of this process. OJP will implement the second phase of the data collection process on August 1, 2000. At that time, software will be made available on-line for local jurisdiction data input. State agencies will be able to input data beginning August 15, 2000, when the third phase of the on-line process is implemented. Instructions for electronic submission of the data and statewide strategies using the world wide web can be found on OJP's web page at [www.ojp.usdoj.gov/osldps](http://www.ojp.usdoj.gov/osldps).

I look forward to working with you and your colleagues during the implementation of this program to enhance State and local emergency response capabilities and to assist States with the development and electronic submission of comprehensive statewide plans.

Sincerely,

C.H. "Butch" Straub II  
Director  
Office for State and Local Domestic Preparedness Support

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# GUIDANCE FOR THE DEVELOPMENT OF A THREE-YEAR STATEWIDE DOMESTIC PREPAREDNESS STRATEGY

## INTRODUCTION

**Conducting a Needs Assessment and developing a Three-Year Statewide Domestic Preparedness Strategy are conditions of the State's acceptance of grant funds under the Fiscal Year 1999 State Domestic Preparedness Equipment Program.** The Needs Assessment and Statewide Strategy should provide a comprehensive blueprint for the coordination and enhancement of efforts to counter WMD terrorism incidents, as well as for the utilization of related Federal, State, and local resources within the State. All information requested for the completion of the Needs Assessment is designed for use in the development of the Statewide Strategy.

The Needs Assessment and Statewide Strategy should cover the fiscal years 1999, 2000, and 2001 and may be submitted separate from and subsequent to the Fiscal Year 1999 State Domestic Preparedness Equipment Program application.

There are important features to understand about the submission of the strategy. First, all submissions are to be made electronically online through the web site, [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm). Second, statewide information is collected and submitted by jurisdiction. Third, statewide information is rolled-up in statewide summaries.

The Office for State and Local Domestic Preparedness Support (OSLDPS) has developed the Assessment and Strategy Development Tool Kit (ASDTK) to aid states and jurisdictions in conducting risk, and capability and needs assessments, and in preparing their three-year domestic preparedness strategies. The Office of Justice Programs (OJP) will hold regional workshops for states to provide direct technical assistance for the conduct and development of the needs assessment and statewide strategy. These workshops will be held from March 28, 2000 through April 19, 2000. Extended technical assistance will be available to states subsequent to the workshops.

This document, Guidance for the Development of a Three-Year Statewide Domestic Preparedness Strategy, comprises a step-by-step executive summary of how states should develop their strategies. It is based upon Appendix C of the Fiscal Year 1999 State Domestic Preparedness Equipment Program's Guidelines and Application Kit and Section 1 and Section 9 of the ASDTK.

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## STRATEGY DEVELOPMENT PROCESS

### **I. Address Jurisdiction Identification and Coordination Issues**

#### **A. Identification of Jurisdictions:**

In developing their Statewide Strategies, states must include the capabilities and roles of the various jurisdictions throughout their States. A jurisdiction is defined as the responsible entity for providing a coordinated response to a WMD terrorism incident. All rural areas must be included as part of a jurisdiction in the Statewide Strategy. Additionally, during the assessment process all supporting response agreements, such as mutual aid agreements, Emergency Management Assistance Compacts (EMACs), and the Interstate Civil Defense and Disaster Compact (ICDDC) should be considered. Equipment compatibility among supporting jurisdictions should also be considered before completing the Statewide Strategy.

The State should identify and prioritize all jurisdictions that will benefit from this program. Subsequently, the state should notify jurisdictions that it will assist them in conducting the jurisdiction-level Needs Assessments critical to the development of Statewide Domestic Preparedness Strategies.

#### **B. Coordination:**

State efforts to coordinate program activities among emergency response services (i.e., fire services, hazardous materials response units, emergency medical services, law enforcement agencies, public works, and public health services) should be described in the strategy. Further, efforts to balance and coordinate different components of the response system (planning, equipment, training, and exercising) and the impact of each component on the others (e.g., equipment on training) should be described in the Statewide Strategy.

How the Statewide Domestic Preparedness Strategy enhances Federal, State, and local cooperation and avoids duplication of efforts should be also described. Federal agencies involved with the various dimensions and stages of WMD incidents include the Federal Bureau of Investigation, Federal Emergency Management Agency, U.S. Department of Defense, U.S. Department of Energy, Environmental Protection Agency, Centers for Disease Control and Prevention/Public Health Services, and U.S. Department of Justice. Other grant sources in addition to OJP, such as those Federal agencies mentioned above, should be considered along with the resources available to conduct the Statewide Strategy. As a result, the most efficient and effective use of limited resources can be achieved.

Subsequent to initiating and completing the task of identification of jurisdictions and to initiating the task of coordination of jurisdictions, states should begin to conduct the needs assessments prerequisite to strategy development.

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## **II. Conduct Risk Assessment**

Forms and detailed guidance for this assessment are provided in the ASTDK. The Risk Assessment includes instruments developed by the Federal Bureau of Investigation (FBI) and the Centers for Disease Control and Prevention's Public Health Assessment instrument to evaluate and integrate vulnerability, threat, and public health performance and yield a Risk Profile.

This assessment is to be conducted for each identified jurisdiction within the state. The results of these assessments combined with the results of the Capabilities and Needs Assessment will allow the state to complete the Jurisdiction Prioritization Matrix. Additionally, the results should be directly and indirectly useful in completion of the Statewide Domestic Preparedness Strategy.

## **III. Conduct Capabilities and Needs Assessments**

Forms and detailed guidance for these assessments are provided in the ASDTK. These assessments are designed to provide operational capability information and guide identification of program needs. These assessments are to be conducted for each identified jurisdiction within the state. The results of these assessments combined with results of the Risk Assessment process will allow the state to complete the Jurisdiction Prioritization Matrix. The results of these assessments also should be directly or indirectly useful in completing the statewide domestic preparedness strategy.

## **IV. Complete Jurisdiction Prioritization Matrix**

This form and related instructions are provided in the ASDTK. It is a form for priority ranking of each of the state's identified jurisdictions based on, Risk Assessments, and Capabilities and Needs Assessments. One matrix for each state is to be completed by the state. The prioritization should be reflected in tasks related to completion of the Statewide Domestic Preparedness Strategy.

## **V. Complete Three-year Projection Forms**

These forms and related instructions are provided in the ASDTK. They are designed to report existing resources/efforts and projected needs for each response discipline within each domestic preparedness program area. Forms are to be completed for each identified jurisdiction within the state. Following completion of jurisdiction forms, the state is to complete roll-up forms providing a statewide summary of each response discipline's resources, efforts, and needs within each domestic preparedness program area. The results of this work will be instrumental in completion of the Statewide Domestic Preparedness Strategy.

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## **VI. Complete Additional Training Information Form**

This form and related instructions are provided in the ASDTK. It is designed to report information about domestic preparedness training capacity and needs. Forms are to be completed for each identified jurisdiction within the state. Information from these forms should be combined with information on state assets and “rolled-up” into one statewide summary form by the state. Information from this form should be reflected in the Statewide Domestic Preparedness Strategy.

## **VII. Complete Emergency Response Team Surveys**

These surveys and related instructions are provided in the ASDTK. They are designed to report the number and composition of emergency response teams within the state and should be completed for each identified jurisdiction within the state. Information from these forms should be combined with information on state assets and “rolled-up” into one statewide summary form by the state. Information from this form should be reflected in the Statewide Domestic Preparedness Strategy.

## **VIII. Complete Forms for Recommendations for State and Local Response to WMD Terrorism Incidents**

These forms and related instructions are provided in the ASDTK. They are designed to report recommendations regarding overall domestic preparedness efforts within the jurisdiction and state and should be completed for each identified jurisdiction within the state. Information from these forms should be combined with state-level recommendations and rolled-up into one statewide summary by the state. Information from the state roll-up should be reflected in the Statewide Domestic Preparedness Strategy.

## **IX. Three-year Statewide Domestic Preparedness Strategy**

Following completion of items I through VIII, states should write the statewide strategy using the following format:

### **A. Statement of the Problem**

Define the nature and extent of the potential terrorism problem within its borders and analyze how efficiently and effectively jurisdictional emergency response resources can respond to WMD terrorism incidents. Defining the nature and extent of the problem should include:

- An assessment of activist/extremist groups in the State and its surrounding area.
- The history of past acts of terrorism committed within the State.
- The potential critical targets for acts of terrorism within the State.



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- The level of preparedness to respond to acts of terrorism within the State, including:
    1. Emergency response equipment.
    2. Training.
    3. Exercises.
    4. Technical assistance

## **B. Identification of Current Capabilities, Projected Needs, and Related Impacts**

For each program area, the state should;

1. Identify its current activities and its current level of effort directed toward domestic preparedness;
2. Identify gaps in services and areas where additional resources are needed to develop a capability to respond to WMD terrorism incidents and provide projections of those needs;
3. Identify the impact of going from the current level of effort or resources to projected levels.

In this part of the statewide strategy, it is critical that the activities and efforts of all response disciplines be covered. It is also critical that variables impacting preparedness such as legislation, command procedures, and mutual aid agreements and compacts be fully addressed.

The following are the program areas to address:

### **1. Equipment Priorities**

- a. Statement of Current Response Capabilities
- b. Projection of Required Response Capabilities
- c. Impact of going from Current to Required Response Capabilities

### **2. Training Priorities**

- a. Statement of Current Training Levels
- b. Projection of Required Training Levels
- c. Impact of going from Current to Required Training Levels

### **3. Exercise Priorities**

- a. Statement of Current Exercise Programs
- b. Projection of Required Exercise Programs
- c. Impact of going from Current to Required Exercise Programs

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#### **4. Technical Assistance Priorities**

- a. Statement of Current Technical Assistance Status
- b. Projection of Required Technical Assistance Requests
- c. Impact of going from Current to Required Technical Assistance

#### **5. Research and Development**

- a. Statement of Current Research and Development Status
- b. Projection of Required Research and Development Requests
- c. Impact of going from Current to Required Research and Development

### **C. Goals and Objectives**

The information and data gathered and analyzed in the definition of the nature and extent of the problem, identification of current capabilities, projected needs, and impact serve as the basis for the Statewide Strategy to address emergency response to WMD terrorism incidents in the State.

The Statewide Strategy should also identify the financial or personnel resources needed to meet the objectives, set priorities for implementing the objectives, allocate resources, and establish timeframes for accomplishing the objectives. Program priorities for the use of the formula grant funds will flow from the development of the Statewide Strategy. The Strategy should also address the use of other Federal, State, local, and private resources and plans for legislative and administrative changes needed to implement the Statewide Strategy.

A comprehensive strategy should contain broad-based goals in the areas of equipment, training, exercises, technical assistance, and research and development. For each goal, the State should establish objectives and an implementation plan. The following example is provided to illustrate this point:

#### **Example: Training Goals**

- 1. State Goal:** To improve the ability of emergency first responders to respond to an act of terrorism by using OJP-developed training.
- 2. First Objective:** To train all emergency responders at the Awareness Competency Level.
- 3. Implementation Plan:** To provide the Awareness Course for Law Enforcement to all law enforcement responders and the Awareness Course to all fire, emergency medical, and hazardous materials response services.

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#### **D. Evaluation Plan for the Three-Year Domestic Preparedness Strategy**

The evaluation of the Statewide Strategy is the responsibility of the designated State Administrative Agency (SAA) for each State. The SAA is responsible for establishing a formal plan to evaluate the effectiveness of its Statewide Strategy in improving its ability to respond to a WMD terrorism incident. In this plan, the State should describe the mechanisms and methods it has or will establish to evaluate the impact of the Statewide Strategy on the response to potential WMD terrorism incidents in the State and the programs and projects funded to implement the Statewide Strategy. At a minimum, the State should report its progress in attaining the objectives established for each goal based on the performance measure for each objective. For example, the attainment of training objectives can be measured by the number of individuals and teams who have successfully completed requested training by course and discipline. The impact of exercises can be measured by results documented in the formal After Action Report for each exercise. The amount of equipment ordered and received, by type and discipline, is a measure of success for equipment acquisition. Technical assistance can be measured by the effect achieved by the particular use of this resource. Additionally, a subjective appraisal of the progress toward preparedness for response can be covered in the narrative.